

**PATENT**  
Attorney Docket No. 225995  
Client Reference No. 38887

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Wang et al.

Group Art Unit: Unassigned

Application No. Unassigned

Examiner: Unassigned

Filed: January 22, 2004

For: ACCELERATING A DISTRIBUTED  
COMPONENT ARCHITECTURE OVER  
A NETWORK USING A MODIFIED RPC  
COMMUNICATION

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

**within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under

37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- after (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:
  - the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).
  - or*
  - the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).
- after the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).
- after the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

#### Copies of the References

- Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- A copy of the foreign search report is enclosed herewith.
- The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s)

relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 09/458,138	12/09/1999		X	
2.				
3.				

**Statement under 37 CFR 1.97(e)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- No fee** is owed by the applicant(s).
- The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- Attached is a check in the amount of \$ \_\_\_\_\_.
- Charge Deposit Account No. 12-1216 in the amount of \$ \_\_\_\_\_ . (A duplicate copy of this communication is enclosed for that purpose.)

In re Appln. of Wang et al.  
Application No.

**Authorization to Charge Additional Fees**

If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions as to Overpayment**

Credit Account No. 12-1216.  
 Refund

  
\_\_\_\_\_  
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Date: January 22, 2004

**CERTIFICATE OF MAILING**

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 1/22/04



IDS (Revised 5/21/03)

FORM PTO-1449 MODIFIED	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 225995	APPLICATION NO. Unassigned
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Wang et al.	
(Use several sheets if necessary)		FILING DATE January 22, 2004	GROUP Unassigned

## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,386,566	Jan. 31, 1995	Hamanaka et al.			
	AB	5,724,588	March 3, 1998	Hill et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO*
	AC	0 642 246	March 8, 1995	EP				
	AD	0 701 205	March 13, 1996	EP				
	AE	0 790 564	Aug. 20, 1997	EP				

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AF	Forin et al., "High-Performance Distributed Objects over System Area Networks," <u>Proceedings of the 3rd USENIX Windows NT Symposium</u> , pp. 21-30 (1999).
AG	Wang et al., "Exploring Customization of Distributed Systems Using COM," (March 24, 1999)
AH	"Connected: An Internet Encyclopedia," [web page]; <a href="http://www.FreeSoft.org/CIE/Topics/6-8.htm">http://www.FreeSoft.org/CIE/Topics/6-8.htm</a> . [Accessed 13 May 1999].
AI	Bilas et al., "Fast RPC on the SHRIMP Virtual Memory Mapped Network Interface," <u>Department of Computer Science, Princeton University</u> , Princeton, New Jersey (February 1997).
AJ	Druschel et al., "Fbufs: A High-Bandwidth Cross-Domain Transfer Facility," <u>Proceedings of the 14th ACM Symposium on Operating Systems Principles</u> , pp. 189-202 (1993).
AK	Madukkarumukumana et al., "Harnessing User-Level Networking Architectures for Distributed Object Computing over High-Speed Networks," <u>Proceedings of the 2nd USENIX Windows NT Symposium</u> , pp. 127-134 (1998).
AL	Thekkath et al., "Limits to Low-Latency Communication on High-Speed Networks," <u>ACM Transactions on Computer Systems</u> , vol. 11, no. 2, pp. 179-199 (May 1993).
AM	Brown et al., "Distributed Component Object Model Protocol -- DCOM/I.0," Internet-draft (January 1998).
AN	Microsoft Corporation, "Microsoft Windows NT Server DCOM Technical Overview White Paper," (1996).
AO	Compaq Computer Corporation et al., "Virtual Interface Architecture Specification Version 1.0," (December 16, 1997).
AP	Microsoft Corporation, "DCOM Architecture White Paper," (1998).
AQ	Horstmann et al., "DCOM Architecture," <u>Microsoft Corporation</u> (July 23, 1997).
AR	Open Group, The, "DCE 1.1: Remote Procedure Call," [web page] 1997. <a href="http://www.opengroup.org/onlinepubs/009629399/chap1.htm">http://www.opengroup.org/onlinepubs/009629399/chap1.htm</a> . [Accessed April 30, 1999].
AS	IBM Corporation, "External Sorting Data Movement Reduction Method," IBM Technical Disclosure Bulletin, vol. 31, no. 10, pp. 85-85 (March 1, 1989).
AT	IBM Corporation, "Preallocating Buffers to Receive Replies to a Multicast," IBM Technical Disclosure Bulletin, vol. 36, no. 3, pp. 29-33 (March 1, 1993).

EXAMINER

DATE CONSIDERED

\*A concise statement of relevance is being submitted in lieu of a translation. 37 CFR § 1.98(b).